



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Hendricksen *et al.*  
Serial No.: 10/627,941  
Customer No.: 24961  
Conf. No.: 3677  
Filed: July 25, 2003  
For: **BRONCHIAL FLOW CONTROL  
DEVICES WITH MEMBRANE SEAL**  
Art Unit: 3761  
Examiner: Unassigned

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

"Express Mail" Mailing Label Number  
**EV 338001437US**  
Date of Deposit **11/18/03**

I hereby certify that this paper is being deposited in the United States Postal "Express Mail Post Office to Addressee" Service under 37 CFR §1.10 on the date indicated above and is addressed to:

US Patent and Trademark Office  
PO Box 1450  
Alexandria, VA 22313-1450

**11/18/03**  
Date

Jonathan Ong

TRANSMITTAL LETTER

US Patent and Trademark Office  
PO Box 1450

Alexandria, VA 22313-1450

Sir:

Transmitted herewith are an Information Disclosure Statement and Forms PTO-1449 (11 pages) for filing in connection with the above-identified application. Because this Information Disclosure Statement is filed prior to receipt of a first office action on the merits in the above-referenced application, no fee is due. However, should it be determined that a fee for filing these papers is required, the Commissioner is authorized to charge Deposit Account No. 05-1213, as stated below:

[X] The Commissioner is hereby authorized to charge any fees that may be due under 37 C.F.R. §§1.16-1.17 in connection with this paper or with this application during its entire pendency to Deposit Account No. 05-1213. A duplicate of this sheet is enclosed.

Respectfully submitted,

HELLER EHRMAN WHITE & McAULIFFE LLP

By:

Fred C. Hernandez  
Registration No. 41,832

Attorney Docket No. 38349-0123

**Address all correspondence to:**

Stephanie L. Seidman

Fred C. Hernandez

HELLER EHRMAN WHITE & McAULIFFE LLP

4350 La Jolla Village Drive, Suite 700

San Diego, CA 92122-1246

Telephone: (858) 450-8400

Facsimile: (858) 587-5360



**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Hendricksen *et al.*

Serial No.: 10/627,941

Customer No.: 24961

Conf. No.: 3677

Filed: July 25, 2003

For: *BRONCHIAL FLOW CONTROL  
DEVICES WITH MEMBRANE SEAL*

Art Unit: 3761

Examiner: Unassigned

**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

"Express Mail" Mailing Label Number

**EV 338001437US**

Date of Deposit **11/18/03**

I hereby certify that this paper is being deposited in the United States Postal "Express Mail Post Office to Addressee" Service under 37 CFR §1.10 on the date indicated above and is addressed to:

US Patent and Trademark Office

PO Box 1450

Alexandria, VA 22313-1450

**11/18/03**

Date

*[Signature]*  
Jonathan Ong

**INFORMATION DISCLOSURE STATEMENT IN ACCORDANCE  
WITH 37 C.F.R. §§ 1.97-1.98**

PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Because this Information Disclosure Statement is filed prior to receipt of a First Office Action on the Merits for the above-captioned application, a fee for filing this statement should not be due. If, however, it is determined that a fee is due, any fees that may be due in connection with filing this paper may be charged to Deposit Account No. 50-1213.

In accordance with the duty of disclosure imposed by 37 C.F.R. § 1.56 to inform the Patent Office of all references known by Applicant or Applicant's representative that may be material to the examination of the subject application, Applicant's representative hereby provides this Information Disclosure Statement that is prepared in accordance with 37 C.F.R. §§ 1.97-1.98 Forms PTO-1449 (11 pages) and copies of the cited documents are not provided herewith as they have been previously provided or cited by the Examiner in connection with U.S. Serial No. 10/7270,792, which is relied upon for an earlier filing date in accordance with 35 U.S.C. § 120.

**USSN 10/627,941**  
**Hendricksen *et al.***  
**INFORMATION DISCLOSURE STATEMENT**

The documents listed on the Form PTO-1449 and supplied herewith are in the English. Hence, in accordance with the requirements of 37 C.F.R. § 1.98, as amended effective March 16, 1992, no further explanation of the listed items is necessary.

Applicant also makes known to the Examiner the following related, co-pending U.S. applications and their status:

<u>U.S.S.N.</u>	<u>Filing Date</u>	<u>Status</u>	<u>Docket No.</u>
08/931,552	09/16/97	Issued	102
09/397,218	09/16/99	Pending	102B
10/071,620	02/08/02	Pending	102C
10/081,569	02/21/02	Pending	102D
10/419,653	04/18/03	Pending	102E
10/454,729	06/03/03	Pending	102F
09/519,735	03/04/00	Pending	103
09/797,910	03/02/01	Pending	103B
10/303,241	11/22/02	Pending	103C
10/303,240	11/22/02	Pending	103D
10/303,318	11/22/02	Pending	103E
10/419,654	04/18/03	Pending	103F
10/419,508	04/18/03	Pending	103G
10/630,473	07/29/03	Pending	103H
10/298,387	11/14/02	Pending	107
10/270,792	10/10/01	Pending	108
10/384,899	03/06/03	Pending	116
10/454,729	05/28/03	Pending	119
10/448,019	05/28/03	Pending	119B
10/448,153	05/28/03	Pending	119C
10/627,517	07/25/03	Pending	0120
10/645,473	08/20/03	Pending	0121
10/275,995	04/07/03	Pending	0122US
10/627,941	07/25/03	Pending	0123

**USSN 10/627,941**  
**Hendricksen *et al.***  
**INFORMATION DISCLOSURE STATEMENT**

<u>INT'L</u>	<u>Filing Date</u>	<u>Status</u>	<u>Docket No.</u>
2001243416	03/02/01	Pending	103AU
2,401,331	03/02/01	Pending	103CA
01916386.4	03/02/01	Pending	103EP
2001564839	03/02/01	Pending	103JP
WO 01/66190	03/02/01	Issued	103PC
PCT/US02/32853	10/10/02	Pending	104PC
PCT/US02/36863	11/14/02	Pending	107PC
PCT/US03/07230	03/06/02	Pending	116PC
PCT/US03/16999	05/28/03	Pending	119PC
Awaiting	07/25/03	Pending	0120PC
Awaiting	08/20/03	Pending	0121PC
2001260840	05/18/01	Pending	0122AU
2,408,923	05/18/01	Pending	0122CA
01934679	05/18/01	Pending	0122EP
02102072.4	05/18/01	Pending	0122HK
2001-583641	05/18/01	Pending	0122JP
PCT/NZ01/00092	05/19/01	Pending	0122PC
PCT/US03/23295	07/25/03	Pending	0123PC

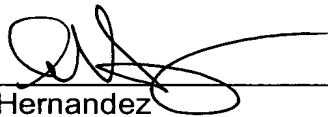
Although these documents are made known to the Patent and Trademark Office in compliance with Applicant's duty of disclosure, such disclosure is not to be construed as an admission by Applicant or Applicant's representative that any of the references, singly or in any combination thereof, is effective as prior art against the subject application. In accordance with 37 C.F.R. § 1.97(h), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(b) exists.

**USSN 10/627,941**  
**Hendricksen *et al.***  
**INFORMATION DISCLOSURE STATEMENT**

Applicant respectfully requests that the Examiner review the foregoing references and make them of record in the file history of the above-captioned application.

Respectfully submitted,  
HELLER EHRMAN WHITE & McAULIFFE LLP

By:

  
Fred C. Hernandez  
Registration No. 41,832

Attorney Docket No. 38349-0123  
**Address all correspondence to:**  
Stephanie L. Seidman  
Fred C. Hernandez  
HELLER EHRMAN WHITE & McAULIFFE LLP  
4350 La Jolla Village Drive, Suite 700  
San Diego, CA 92122-1246  
Telephone: (858) 450-8400      Facsimile: (858) 587-5360

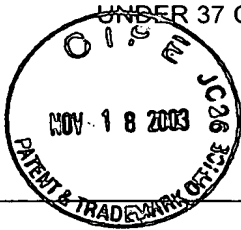
## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## INFORMATION DISCLOSURE STATEMENT

UNDER 37 CFR § 1.56, § 1.97, and § 1.98

FORM PTO-1449

Sheet 1 of 11

APPLICATION SERIAL NO.:  
10/627,941ATTY DKT NO.:  
38349-0123CONFIRM NO.:  
3677APPLICANTS:  
Hendricksen *et al.*CUSTOMER NO.:  
24961FILING DATE:  
July 25, 2003GROUP ART UNIT:  
3761

## U.S. PATENT DOCUMENTS

† EX'R INITIAL	REF. #	PATENT NUMBER	DATE	NAME	U.S. CLASS/ SUBCLASS	FILING DATE (If appropriate)
*	A	2003/0018327 (A1)	01/23/03	Truckai <i>et al.</i>	606/32	07/18/02
*	B	2003/0018344 (A1)	01/23/03	Kaji <i>et al.</i>	606/130	07/19/02
*	C	2003/0050648 (A1)	03/13/03	Alfermess <i>et al.</i>	606/108	09/11/01
*	D	2003/0083671(A1)	05/01/03	Rimbaugh <i>et al.</i>	606/108	10/25/01
*	E	2003/0181922 (A1)	09/25/03	Alfermess	606/108	03/20/02
*	F	2003/0183235 (A1)	10/02/03	Rimbaugh <i>et al.</i>	128/207.15	04/17/03
*	G	2002/0138135 (A1)	09/26/02	Duerig <i>et al.</i>	623/1.24	03/21/01
*	H	2002/0112729 (A1)	08/22/02	DeVore <i>et al.</i>	128/207.15	02/21/01
*	I	2002/0111620 (A1)	08/15/02	Cooper <i>et al.</i>	606/41	09/04/01
*	J	2002/0111619 (A1)	08/14/02	Keast <i>et al.</i>	606/41	09/04/01
*	K	2002/0095209 (A1)	07/18/02	Zadno-Azizi <i>et al.</i>	623/1.24	02/08/02
*	L	2002/0087153 (A1)	07/04/02	Roschak <i>et al.</i>	606/27	09/04/01
*	M	2002/0077696 A1	06/20/02	Zadno-Azizi <i>et al.</i>	623/1.24	02/21/02
*	N	2002/0077593 (A1)	06/20/02	Perkins <i>et al.</i>	604/96.01	02/11/02
*	O	2002/0062120 (A1)	05/23/02	Perkins <i>et al.</i>	604/516	12/13/01
*	P	2002/0026233(A1)	02/28/02	Shaknovich	623/1.24	03/20/01
*	Q	2002/0007831(A1)	1/24/02	Davenport <i>et al.</i>	128/200.24	07/18/01
*	R	2001/0056274 (A1)	12/27/01	Perkins <i>et al.</i>	604/516	07/02/01
*	S	2001/0052344 (A1)	12/20/01	Doshi	128/207	06/14/01
*	T	2001/0051799 (A1)	12/13/01	Ingenito	604/516	04/20/01
*	U	2001/0041906 (A1)	11/15/01	Gonzalez	606/191	07/24/01
*	V	2001/0037808 A1	11/08/01	Deem <i>et al.</i>	128/200.24	03/02/01

EXAMINER'S SIGNATURE

DATE  
CONSIDERED

† EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Line through citation if not in conformance and not considered. Include copy of this form in next communication to applicant.

\* If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120. 37 C.F.R. 1.98(d).

SD 634135 v1

11/17/03 4:17 PM (38349.0123G)

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## INFORMATION DISCLOSURE STATEMENT

UNDER 37 CFR § 1.56, § 1.97, and § 1.98

FORM PTO-1449

Sheet 2 of 11



APPLICATION SERIAL NO.:

10/627,941

ATTY DKT NO.:

38349-0123

CONFIRM NO.:

3677

APPLICANTS:

Hendricksen *et al.*

CUSTOMER NO.:

24961

FILING DATE:

July 25, 2003

GROUP ART UNIT:

3761

## U.S. PATENT DOCUMENTS

*	W	2001/0025132 (A1)	09/27/01	Alferness <i>et al.</i>	600/37	02/09/01
*	X	2,981,254	04/25/61	Vanderbilt	128/350	11/12/57
*	Y	3,657,744	04/25/72	Ersek	128/334	05/08/70
*	Z	3,788,327	01/29/74	Donowitz <i>et al.</i>	128/350	03/30/71
*	AA	3,874,388	04/01/75	King <i>et al.</i>	128/334	02/12/73
*	AB	4,014,318	03/29/77	Dockum <i>et al.</i>	128/1	05/22/75
*	AC	4,086,665	05/02/78	Poirier	623/1	12/16/76
*	B	4,212,463	07/15/80	Repinski <i>et al.</i>	273/418	02/17/78
*	AD	4,250,873	02/17/81	Bonnet	600/104	04/17/78
*	AE	4,302,854	12/01/81	Runge	3/1.7	06/04/80
*	AF	4,477,930	10/23/84	Totten <i>et al.</i>	3/1.5	09/28/82
*	AG	4,710,192	12/01/87	Liotta <i>et al.</i>	623/1	10/17/86
*	AH	4,732,152	03/22/88	Wallsten <i>et al.</i>	128/343	12/5/85
*	AI	4,759,758	07/26/88	Gabbay	623/2	12/07/84
*	AJ	4,795,449	01/03/89	Schneider <i>et al.</i>	604/329	08/04/86
*	AK	4,808,183	02/28/89	Panje	623/9	06/03/80
*	AL	4,819,664	04/11/89	Nazari	128/207.15	02/17/88
*	AM	4,830,003	05/16/89	Wolff <i>et al.</i>	128/343	06/17/88
*	AN	4,832,680	05/23/89	Haber <i>et al.</i>	600/31	07/03/86
*	AO	4,846,836	07/11/89	Reich	623/11	10/03/88
*	AP	4,850,999	07/25/89	Planck	623/1	05/26/81
*	AQ	4,852,568	08/01/89	Kensey	128/325	12/28/87

EXAMINER'S SIGNATURE

DATE  
CONSIDERED

† EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Line through citation if not in conformance and not considered. Include copy of this form in next communication to applicant.

\* If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120. 37 C.F.R. 1.98(d).

SD 634135 v1

11/17/03 4:17 PM (38349.0123G)

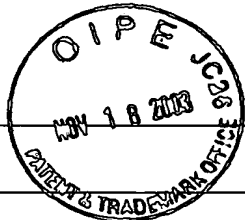
## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## INFORMATION DISCLOSURE STATEMENT

UNDER 37 CFR § 1.56, § 1.97, and § 1.98

FORM PTO-1449

Sheet 3 of 11



APPLICATION SERIAL NO.:

10/627,941

ATTY DKT NO.:

38349-0123

CONFIRM NO.:

3677

APPLICANTS:

Hendricksen *et al.*

CUSTOMER NO.:

24961

FILING DATE:

July 25, 2003

GROUP ART UNIT:

3761

## U.S. PATENT DOCUMENTS

*	AR	4,877,025	10/31/89	Hanson	128/107.16	10/06/88
*	AS	4,934,999	06/19/90	Bader	600/29	07/28/88
*	AT	4,968,294	11/06/90	Salama	600/30	02/09/89
*	AU	5,061,274	10/29/91	Kensey	606/213	12/04/89
*	AV	5,116,360	05/26/92	Pinchuk <i>et al.</i>	623/1	12/27/90
*	AW	5,116,564	05/26/92	Jansen <i>et al.</i>	264/255	10/10/89
*	AX	5,123,919	06/23/92	Sauter <i>et al.</i>	623/2	06/23/92
*	AY	5,151,105	09/29/92	Kwan-Gett	623/1	10/07/91
*	AZ	5,161,524	11-92	Evans	128/203.15	
*	BA	5,306,234	04/26/94	Johnson	604/49	03/23/93
*	BB	5,352,240	10/04/94	Ross	623/2	05/31/89
*	BC	5,358,518	10/25/94	Camilli	623/2	01/25/93
*	BD	5,366,478	11/22/94	Brinkerhoff <i>et al.</i>	660/213	07/27/93
*	BE	5,382,261	01/17/95	Palmaz	606/158	09/01/92
*	BF	5,392,775	02/28/95	Adkins <i>et al.</i>	128/207.16	03/22/94
*	BG	5,409,019	04/25/95	Wilk	128/898	11/03/93
*	BH	5,411,507	05/02/95	Heckele	606/108	01/05/94
*	BI	5,411,552	05/02/95	Andersen <i>et al.</i>	623/2	06/14/94
*	BJ	5,413,599	05/09/95	Imachi <i>et al.</i>	623/2	12/13/93
*	BK	5,417,226	05/23/95	Juma	128/885	06/09/94
*	BL	5,445,626	08/29/95	Gigante	604/349	06/03/94
*	BM	5,486,154	01/23/96	Kelleher	600/104	06/08/93

EXAMINER'S SIGNATURE

DATE  
CONSIDERED

† EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Line through citation if not in conformance and not considered. Include copy of this form in next communication to applicant.

\* If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120. 37 C.F.R. 1.98(d).

SD 634135 v1  
11/17/03 4:17 PM (38349.0123G)



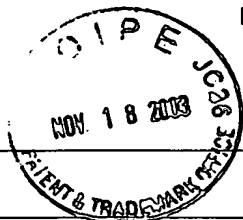
## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## INFORMATION DISCLOSURE STATEMENT

UNDER 37 CFR § 1.56, § 1.97, and § 1.98

FORM PTO-1449

Sheet 4 of 11



APPLICATION SERIAL NO.:

10/627,941

ATTY DKT NO.:

38349-0123

CONFIRM NO.:

3677

APPLICANTS:

Hendricksen *et al.*

CUSTOMER NO.:

24961

FILING DATE:

July 25, 2003

GROUP ART UNIT:

3761

## U.S. PATENT DOCUMENTS

*	BN	5,499,995	03/19/96	Teirstein	606/192	05/25/94
*	BO	5,500,014	03/19/96	Quijano <i>et al.</i>	623/2	05/09/96
*	BP	5,562,608	10/08/96	Sekins <i>et al.</i>	604/20	04/13/95
*	BQ	5,645,565	07/08/97	Rudd <i>et al.</i>	606/213	06/13/93
*	BR	5,660,175	08/26/97	Dayal	128/207.15	08/21/95
*	BS	5,662,713	09/02/97	Andersen <i>et al.</i>	623/12	09/14/95
*	BT	5,683,451	11/04/97	Lenker <i>et al.</i>	623/1	06/07/95
*	BU	5,697,968	12/16/97	Rogers <i>et al.</i>	623/1	08/10/95
*	BV	5,755,770	5/26/98	Ravenscroft	623/1	01/31/95
*	BW	5,800,339	09/01/98	Salama	600/29	05/02/97
*	BX	5,840,081	11/24/98	Andersen <i>et al.</i>	623/2	02/19/97
*	BY	5,851,232	12/22/98	Lois	623/1	3/13/97
*	BZ	5,855,587	01/05/99	Hyon <i>et al.</i>	606/188	08/22/96
*	CA	5,855,597	01/5/99	Jayaraman	623/1	05/07/97
*	CB	5,855,601	01/05/99	Bessler <i>et al.</i>	623/2	06/21/96
*	CC	5,944,738	08/31/99	Amplatz <i>et al.</i>	606/213	02/06/98
*	CD	5,947,997	09/07/99	Pavcnik <i>et al.</i>	606/213	06/30/97
*	CE	5,954,766	09/21/99	Zadno-Azizi <i>et al.</i>	623/2	09/16/97
*	CF	5,957,949	09/28/99	Leonhardt <i>et al.</i>	606/194	05/01/97
*	CG	5,976,174	11/02/99	Ruiz	606/213	12/15/97
*	CH	5,984,965	11/16/99	Knapp <i>et al.</i>	623/12	08/28/97
*	CI	6,007,575	12/28/99	Samuels	623/1	06/06/97

EXAMINER'S SIGNATURE

DATE  
CONSIDERED

† EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Line through citation if not in conformance and not considered. Include copy of this form in next communication to applicant.

\* If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120. 37 C.F.R. 1.98(d).

SD 634135 v1

11/17/03 4:17 PM (38349.0123G)

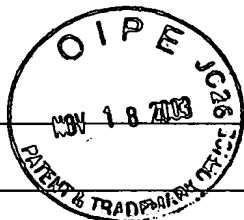
## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## INFORMATION DISCLOSURE STATEMENT

UNDER 37 CFR § 1.56, § 1.97, and § 1.98

FORM PTO-1449

Sheet 5 of 11



APPLICATION SERIAL NO.:

10/627,941

ATTY DKT NO.:

38349-0123

CONFIRM NO.:

3677

APPLICANTS:

Hendricksen *et al.*

CUSTOMER NO.:

24961

FILING DATE:

July 25, 2003

GROUP ART UNIT:

3761

## U.S. PATENT DOCUMENTS

*	CJ	6,009,614	01/04/00	Morales	29/516	04/21/98
*	CK	6,020,380	02/01/00	Killian	514/570	11/25/98
*	CL	6,022,312	02/08/00	Chaussy <i>et al.</i>	600/29	02/20/98
*	CM	6,027,525	02/22/00	Suh <i>et al.</i>	623/1	05/23/97
*	CN	6,051,022	04/18/00	Cai <i>et al.</i>	623/2	12/30/98
*	CO	6,068,635	05/30/00	Gianotti	606/108	06/04/98
*	CP	6,068,638	05/30/00	Makower	606/159	10/27/98
*	CQ	6,077,291	06/20/00	Das	606/213	11/26/96
*	CR	6,083,255	07/04/00	Laufer <i>et al.</i>	607/96	12/19/97
*	CS	6,123,663	09/26/00	Rebuffat	A61F2/00	12/23/98
*	CT	6,135,729	10/24/00	Aber	417,420	07/09/99
*	CU	6,135,991	10/24/00	Muni <i>et al.</i>	604/509	03/27/98
*	CV	6,141,855	11/07/00	Morales	29/516	04/28/98
*	CW	6,162,245	12/19/00	Jayaraman	623/1.15	01/05/99
*	CX	6,168,614 (B1)	01/02/01	Andersen <i>et al.</i>	623/1	02/20/98
*	CY	6,174,323 (B1)	01/16/01	Biggs <i>et al.</i>	606/232	06/05/98
*	CZ	6,183,520 (B1)	02/06/01	Pintauro <i>et al.</i>	623/23.64	11/10/98
*	DA	6,200,333 (B1)	03/13/01	Laufer	607/96	12/31/98
*	DB	6,206,918 (B1)	03/27/01	Campbell <i>et al.</i>	623/2.32	05/12/99
*	DC	6,234,996 (B1)	05/22/01	Bagaoisan <i>et al.</i>	604/97.01	06/23/99
*	DD	6,240,615 (B1)	06/05/01	Kimes <i>et al.</i>	29/516	09/30/99
*	DE	6,245,102 (B1)	06/12/01	Jayaraman	623/1.15	07/21/99
*	DF	6,258,100	07/11/01	Alfermess <i>et al.</i>	606/108	10/10/00
*	DG	6,270,527 (B1)	08/07/01	Campbell <i>et al.</i>	623/2.18	10/16/98

EXAMINER'S SIGNATURE

DATE  
CONSIDERED

† EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Line through citation if not in conformance and not considered. Include copy of this form in next communication to applicant.

\* If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120. 37 C.F.R. 1.98(d).

SD 634135 v1

11/17/03 4:17 PM (38349.0123G)

<b>IN THE UNITED STATES PATENT AND TRADEMARK OFFICE</b>  <b>INFORMATION DISCLOSURE STATEMENT</b>  UNDER 37 CFR § 1.56, § 1.97, and § 1.98  <b>FORM PTO-1449</b>  Sheet 6 of 11	APPLICATION SERIAL NO.: 10/627,941	ATTY DKT NO.: 38349-0123	CONFIRM NO.: 3677
	APPLICANTS: Hendricksen <i>et al.</i>		CUSTOMER NO.: 24961
	FILING DATE: July 25, 2003		GROUP ART UNIT: 3761



U.S. PATENT DOCUMENTS						
*	DH	6,287,290 (B1)	09/11/01	Perkins <i>et al.</i>	604/516	07/02/99
*	DI	6,293,951 (B1)	09/25/01	Alferness <i>et al.</i>	606/108	08/24/99
*	DJ	6,302,893 (B1)	10/16/01	Limon <i>et al.</i>	606/108	06/19/00
*	DK	6,312,407 (B1)	11/06/01	Zadno-Azizi <i>et al.</i>	604/103.03	02/19/98
*	DL	6,325,777 (B1)	12/04/01	Zadno-Azizi <i>et al.</i>	604/97.01	10/01/99
*	DM	6,325,778 (B1)	12/04/01	Zadno-Azizi <i>et al.</i>	604/99.02	01/01/99
*	DN	6,327,772 (B1)	12/11/01	Zadno-Azizi <i>et al.</i>	29/557	04/13/99
*	DO	6,328,689 (B1)	12/11/01	Gonzalez	600/37	03/23/00
*	DP	6,355,014 (B1)	03/12/02	Zadno-Azizi <i>et al.</i>	604/99.02	03/13/98
*	DQ	6,398,775 (B1)	06/04/02	Perkins <i>et al.</i>	604/514	10/21/99
*	DR	6,402,754 (B1)	06/11/02	Gonzalez	606/69	10/20/99
*	DS	6,416,554 (B1)	07/09/02	Alferness <i>et al.</i>	623/23.65	08/24/99
*	DT	6,458,076	10/01/02	Pruitt	600/146	02/01/00
*	DU	6,485,407 (B2)	11/26/02	Alferness <i>et al.</i>	600/37	02/09/01
*	DV	6,491,706 (B1)	12/10/02	Alferness <i>et al.</i>	606/157	07/10/01
*	DW	6,493,589 (B1)	12/10/02	Medhkour <i>et al.</i>	607/99	08/10/00
*	DX	6,510,846 (B1)	01/28/03	O'Rourke	128/200.21	10/26/00
*	DY	6,527,761 (B1)	03/04/03	Soltesz <i>et al.</i>	604/516	10/27/00

EXAMINER'S SIGNATURE	DATE CONSIDERED
† EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Line through citation if not in conformance and not considered. <i>Include copy of this form in next communication to applicant.</i>  * If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120. 37 C.F.R. 1.98(d).	
SD 634135 v1 11/17/03 4:17 PM (38349.0123G)	

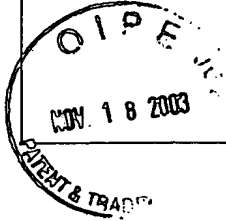
## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## INFORMATION DISCLOSURE STATEMENT

UNDER 37 CFR § 1.56, § 1.97, and § 1.98

FORM PTO-1449

Sheet 7 of 11

APPLICATION SERIAL NO.:  
10/627,941ATTY DKT NO.:  
38349-0123CONFIRM NO.:  
3677APPLICANTS:  
Hendricksen *et al.*CUSTOMER NO.:  
24961FILING DATE:  
July 25, 2003GROUP ART UNIT:  
3761

## FOREIGN PATENT DOCUMENTS

† EX'R INITIAL	REF. #	Patent Number	Date	Country	TRANSLATION (YES/NO)
*	DZ	00/15149	03/23/00	PCT	
*	EA	00/42950	07/27/00	PCT	
*	EB	00/51510	09/08/00	PCT	
*	EC	00/62699	10/26/00	PCT	
*	ED	00/78386 (A1)	12/28/00	PCT	
*	EE	00/78407 (A1)	12/28/00	PCT	
*	EF	01/02042 (A1)	01/11/01	PCT	
*	EG	01/03642 (A1)	01/18/01	PCT	
*	EH	01/05334 (A1)	01/25/01	PCT	
*	EI	01/10313 (A1)	02/15/01	PCT	
*	EJ	01/10314 (A2)	02/15/01	PCT	
*	EK	01/12104 (A1)	02/22/01	PCT	
*	EL	01/13839 (A1)	03/01/01	PCT	
*	EM	01/13908 (A2)	03/01/01	PCT	
*	EN	01/28433 (A1)	04/26/01	EP	
*	EO	01/45590 (A2)	06/28/01	PCT	
*	EP	01/49213 (A2)	07/12/01	PCT	

EXAMINER'S SIGNATURE

DATE  
CONSIDERED

† EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Line through citation if not in conformance and not considered. *Include copy of this form in next communication to applicant.*

\* If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120. 37 C.F.R. 1.98(d).

SD 634135 v1  
11/17/03 4:17 PM (38349.0123G)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
**INFORMATION DISCLOSURE STATEMENT**

UNDER 37 CFR § 1.56, § 1.97, and § 1.98

FORM PTO-1449

Sheet 8 of 11

APPLICATION SERIAL NO.:  
 10/627,941

ATTY DKT NO.:  
 38349-0123

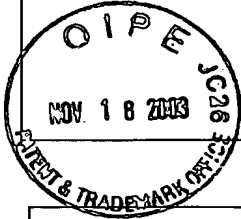
CONFIRM NO.:  
 3677

APPLICANTS:  
 Hendricksen *et al.*

CUSTOMER NO.:  
 24961

FILING DATE:  
 July 25, 2003

GROUP ART UNIT:  
 3761



**FOREIGN PATENT DOCUMENTS**

*	EQ	01/54585 (A1)	08/02/01	PCT	
*	ER	01/54625 (A1)	08/02/01	PCT	
*	ES	01/54685 (A1)	08/02/01	PCT	
*	ET	01/66190 (A2)	09/13/01	PCT	
*	EU	01/74271 (A1)	10/11/01	PCT	
*	EV	01/87170 (A1)	11/22/01	PCT	
*	EW	01/89366 (A2)	11/29/01	PCT	
*	EX	01/95786 (A2)	12/20/01	PCT	
*	EY	02/05884 (A2)	1/24/02	PCT	
*	EZ	02/22072 (A2)	03/21/02	PCT	
*	FA	02/32333 (A1)	04/25/02	PCT	
*	FB	02/34322 (A2)	05/02/02	PCT	
*	FC	02/38038 (A2)	05/16/02	PCT	
*	FD	02/47575 (A2)	06/20/02	PCT	
*	FE	02/056794 (A2)	07/25/02	PCT	
*	FF	02/064045 (A1)	08/22/02	PCT	
*	FG	02/064190 (A2, A3)	08/22/02	PCT	
*	FH	02/069823 (A2, A3)	09/12/02	PCT	
*	FI	02/094087 (A1)	11/28/02	PCT	

EXAMINER'S SIGNATURE

DATE  
 CONSIDERED

† EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Line through citation if not in conformance and not considered. *Include copy of this form in next communication to applicant.*

\* If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120. 37 C.F.R. 1.98(d).

SD 634135 v1  
 11/17/03 4:17 PM (38349.0123G)

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## INFORMATION DISCLOSURE STATEMENT

UNDER 37 CFR § 1.56, § 1.97, and § 1.98

FORM PTO-1449

Sheet 9 of 11



APPLICATION SERIAL NO.:

10/627,941

ATTY DKT NO.:

38349-0123

CONFIRM NO.:

3677

APPLICANTS:

Hendricksen *et al.*

CUSTOMER NO.:

24961

FILING DATE:

July 25, 2003

GROUP ART UNIT:

3761

## FOREIGN PATENT DOCUMENTS

*	FJ	03/022124 (A2)	03/20/03	PCT	
*	FK	03/079944 (A1)	10/02/03	PCT	
*	FL	03/088912 (A2)	10/30/03	PCT	
*	FM	0621 015 (A1)	10/26/94	EP	
*	FN	0621 015 (B1)	10/26/94	EP	
*	FO	1,371,700	02/07/88	SU	X
*	FP	1,593,651	09/23/90	SU	X
*	FQ	1 078 601 (A2)	02/28/01	EP	
*	FR	1 151 729 (A1)	11/07/01	EP	
*	FS	2140211	10/27/99	RU	X
*	FT	2324729	04/11/98	GB	
*	FU	852321	07/08/81	SU	X
*	FV	94/26175	11/24/94	PCT	
*	FW	95/32018	11/30/95	PCT	
*	FX	96/34582	11/07/96	PCT	X+
*	FY	97/44085	11/27/97	PCT	
*	FZ	98/00840	01/08/98	PCT	
*	GA	98/19633	05/14/98	PCT	
*	GB	98/39047	09/11/98	PCT	

EXAMINER'S SIGNATURE

DATE  
CONSIDERED

† EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Line through citation if not in conformance and not considered. Include copy of this form in next communication to applicant.

\* If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120. 37 C.F.R. 1.98(d).

SD 634135 v1

11/17/03 4:17 PM (38349.0123G)

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## INFORMATION DISCLOSURE STATEMENT

UNDER 37 CFR § 1.56, § 1.97, and § 1.98

FORM PTO-1449

Sheet 10 of 11



APPLICATION SERIAL NO.:

10/627,941

ATTY DKT NO.:

38349-0123

CONFIRM NO.:

3677

APPLICANTS:

Hendricksen *et al.*

CUSTOMER NO.:

24961

FILING DATE:

July 25, 2003

GROUP ART UNIT:

3761

## FOREIGN PATENT DOCUMENTS

*	GC	98/44854 (A1)	10/15/98	PCT	
*	GD	98/48706	11/5/98	PCT	
*	GE	99/01076	01/14/99	PCT	
*	GF	99/13801	03/25/99	PCT	
*	GG	99/26692	06/03/99	PCT	
*	GH	99/32040	07/01/99	PCT	
*	GI	99/42059	08/26/99	PCT	
*	GJ	99/42161	08/26/99	PCT	
*	GK	99/64109 (A1)	12/16/99	PCT	

x English Language Derwent is enclosed.

x+ English Language Equivalent is enclosed.

## OTHER DOCUMENTS

† EX'R INITIAL	REF. #	CITATION (Author, Article Title, Journal/Book Title, Date, Pertinent Pages, etc.)
*	GL	Al Jishi <i>et al.</i> , "Selective Bronchial Occlusion for Treatment of Bullous Interstitial Emphysema and Bronchopleural Fistula." <i>J. of Pediatric Surgery</i> , 29:1545-1547, 1994
*	GM	Article: "Autocath® 100 – Nonsurgical, Intraurethral Bladder Control Device for Incontinent and Retentive Women – Dr. Kulisz's Development"
*	GN	Derwent citing Russian Patent No. RU 2140211, published 10/27/99, for: "Method of surgical treatment of patients with pathology of respiratory organs complicated with pulmonary hemorrhages"

EXAMINER'S SIGNATURE

DATE  
CONSIDERED

† EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Line through citation if not in conformance and not considered. *Include copy of this form in next communication to applicant.*

\* If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120. 37 C.F.R. 1.98(d).

SD 634135 v1

11/17/03 4:17 PM (38349.0123G)

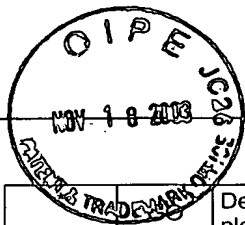
## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

## INFORMATION DISCLOSURE STATEMENT

UNDER 37 CFR § 1.56, § 1.97, and § 1.98

FORM PTO-1449

Sheet 11 of 11

APPLICATION SERIAL NO.:  
10/627,941ATTY DKT NO.:  
38349-0123CONFIRM NO.:  
3677APPLICANTS:  
Hendricksen *et al.*CUSTOMER NO.:  
24961FILING DATE:  
July 25, 2003GROUP ART UNIT:  
3761

		Derwent citing Soviet Union Patent No. SU 852-321, published 07/08/81, for: "Treatment for acute pulmonary and pleural disease in children - by pneumo-abcessotomy simultaneous with occlusion of affected lung part"
*	GP	Derwent# 007607249 WPI Acc. No: 1988-241181/198834 (citing Russian Application No. SU4026409, published February 21, 1986), Russian Patent No. SU 1371700
*	GQ	Derwent# 008650867 WPI Acc. No: 1991-154896/199121 (citing Russian Application No. SU4280143, published July 07, 1987), Russian Patent No. SU 1593651
*	GR	Harris <i>et al.</i> , "The Experimental Production in Dogs of Emphysema with Associated Asthmatic Syndrome by Means of an Intratracheal Ball Valve", <i>J. Lab. Clin. Med.</i> , 9(iv):75-88, 1919
*	GS	Lewis <i>et al.</i> , "Pulmonary Interstitial Emphysema: Selective Bronchial Occlusion with a Swan-Ganz Catheter", <i>Archives of Disease in Childhood</i> , 63:313-315, 1988
*	GT	Mathew <i>et al.</i> , "Selective bronchial obstruction for treatment of bullous interstitial emphysema." <i>J. of Ped.</i> , 96:475-477, 1980
*	GU	Okada <i>et al.</i> , "Emergent Bronchofiberoptic Bronchial Occlusion for Intractable Pneumothorax with Severe Emphysema", <i>The Jap. J. of Thor. And Cardio. Sur.</i> , 46:1078-1081, 1998
*	GV	Puhakka <i>et al.</i> , "Acute Bronchial Obstruction: An Experimental Rabbit Model Study", <i>Int. J. of Pediatric Otorhinolaryngology</i> , 18:107-118, 1989
*	GW	Snider <i>et al.</i> , The Definition of Emphysema: Report of the National Heart Lung and Blood Institute, Division of Lung Diseases Workshop, <i>Am. Rev. Respir. Dis.</i> , 132:182-185, 1985
*	GX	Woodring <i>et al.</i> , "Pneumothorax ex Vacuo", <i>CHEST</i> , 100:1102-1124, 1996

EXAMINER'S SIGNATURE

DATE  
CONSIDERED

† EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609. Line through citation if not in conformance and not considered. Include copy of this form in next communication to applicant.

\* If an asterisk is placed beside the reference number, a copy is not provided because the reference was previously cited by or submitted to the PTO in a prior application that is identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120. 37 C.F.R. 1.98(d).

SD 634135 v1  
11/17/03 4:17 PM (38349.0123G)